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ABSTRACT

This Systems and Procedures Exchange Center (SPEC) kit contains a collection of representative documents on performance review procedures in academic and research libraries. The kit comprises: (1) performance appraisal forms from the Stanford University Libraries; (2) a rating scale evaluation form and an essay evaluation form for professional librarians from Duke University Library; (3) general guidelines, instructions, and a performance appraisal form from Columbia University; (4) an SEC evaluation form; (5) a professional performance review form from the University of Kentucky Libraries; (6) suggested criteria for promotion of library faculty from Notre Dame University; (7) procedures, guidelines, and forms for performance evaluation of non-academic staff and professional staff from Washington University Libraries; (8) a promotion plan for librarians from the University of Maryland, College Park; and (9) a performance evaluation form from the Indiana University Libraries. A brief review of SPEC services, a summary of the results of the SPEC Personnel Survey, and a list of SPEC publications are attached. (KM)

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SPEC KIT # 5

PERFORMANCE REVIEW

March 1974

IR051878

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Performance Review Kit #5

B

STANFORD UNIVERSITY LIBRARIES

PERFORMANCE APPRAISAL

This form is to be used by the staff member in preparation for the Performance Appraisal Conference.

Name of Staff Member _____ Library Department/Branch _____

Library Classification Title _____ Starting date in classification _____

Date of last Appraisal Conference _____ Scheduled Conference Date _____

OVERALL PERFORMANCE APPRAISAL

1. What are the responsibilities and duties of this position, and the particular tasks that are to be performed?

2. How well do you perform these responsibilities and duties?

SPECIFIC ASPECTS OF JOB PERFORMANCE

3. What skills and personal qualities are necessary for the effective performance of these tasks?

4. To what extent do you possess these skills and personal qualities?

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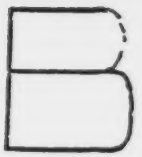
5. In what aspects of these tasks do you show particular strength?



6. In what aspects of these tasks do you need improvement?

7. What can you do to improve?

8. What can your supervisor do to help you improve?

GENERAL OBSERVATIONS:

9. What can be done to improve communication between you and your supervisor?

10. What are your job interests and career goals?

The following statement summarizes the facts, objectives or goals mutually established at the Performance Appraisal Conference:

Supervisor _____ _____ Staff Member _____ _____
date date

Reviewed by Department Chief/Director _____ _____
date

SUL 110B (approved by P.& E.R. Dept) 7/73

STANFORD UNIVERSITY LIBRARIES

PERFORMANCE APPRAISAL

A

This form is to be used by the Supervisor in preparation for the Performance Appraisal Conference.

Name of Staff Member _____ Library Department/Branch _____

Library Classification Title _____ Starting date in classification _____

Date of last Appraisal Conference _____ Scheduled Conference Date _____

OVERALL PERFORMANCE APPRAISAL

1. What are the responsibilities and duties of this position, and the particular tasks that are to be performed?

2. How well does the staff member perform these responsibilities and duties?

SPECIFIC ASPECTS OF JOB PERFORMANCE

3. What skills and personal qualities are necessary for the effective performance of these tasks:

4. To what extent does the staff member possess these skills and personal qualities?

5. In what aspects of these tasks does the staff member show particular strength?

6. In what aspects of these tasks does the staff member need improvement?

7. What can the staff member do to improve?

8. What can you do to help the staff member improve?

The following statement summarizes the facts, objectives or goals mutually established at the Performance Appraisal Conference:

Supervisor _____ _____ Staff Member _____ _____
date date

Reviewed by Department Chief/Director _____ _____
date

SUL 110A (approved by P.S E.R. Dept) 1/73

PERFORMANCE APPRAISAL FORMS

STAFF COMMENT

I have just completed Form A ___ B ___ (check one) and the Performance Appraisal Conference. Because this represents quite a departure from past procedures and records, I would like to make the following comments to help with further improvements of this process:

1. In general, I like ___ dislike ___ (check one) this new form.

2. In particular I found the following questions easy to answer: (specify and state why):

3. The following questions were difficult to answer: (specify and state why):

4. The form can be improved by adding ___ removing ___ (check one) the following question:

5. The procedure can be improved by:

6. The Performance Appraisal Conference meets with my approval ___ disapproval ___ (check one) because:

Please forward this, signed or unsigned, to: Library Personnel Office, Room 106-A, Main Library.

Thank you.

Bernard J. Denham
Library Personnel Officer

DUKE UNIVERSITY LIBRARY
RATING SCALE EVALUATION OF PROFESSIONAL LIBRARIANS

PERFORMANCE REVIEW

NAME_____ DATE_____

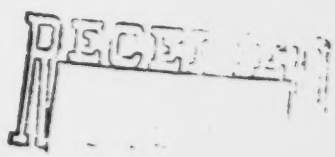
NAME OF SUPERVISOR_____ DEPARTMENT_____

PERIOD COVERED_____

This rating scale form for supervisory evaluation is to be used in conjunction with, or in place of, the essay evaluation form to provide information for promotion and salary determinations and for other personnel actions. The evaluation should be available to the evaluated librarian and an evaluation conference held, if desired.

Factors which pertain to performance, qualities, and abilities are listed. Five gradations ranging from strength to weakness are noted for each factor, with explanatory phrases defining the gradations. Place a check on the horizontal line above the gradation which most nearly expresses your evaluation. Alter the explanatory phrases as necessary to describe the individual. If a factor does not apply (N/A) or if there is no opportunity to observe (N/OO), so indicate in the space marked Comments. Also use this space, if needed, for additional clarification.

OVERALL EVALUATION OF WORK AND ADDITIONAL COMMENTS:



I recommend this librarian for continuation___ promotion___ termination___.

Supervisor's signature_____

Evaluated librarian's signature_____
Comments:

Assistant or Associate University Librarian's signature_____

9-73.

FACTORS

PERFORMANCE — 1-5						COMMENTS
1. ORGANIZATION OF WORK (Analyses and systematizes both methods and time)	Analyses and organizes work readily, clearly, & intelligently	Organizes work well	Shows satisfactory ability for organization	Has difficulty in organizing work	Work must be organized for him	
2. QUANTITY OF WORK (Amount accomplished)	Accomplishes unusually high volume of work	Rapid worker; usually ahead of schedule	Accomplishes assigned tasks	Does just enough to get by	Quantity of work unacceptable	
3. ACCURACY (Freedom from mistakes)	Exceptional	Very few errors. Maintains high standards	Steady, careful worker	Frequent errors	Very many errors. Work must always be followed up	
4. THOROUGHNESS (Perseverance; follows through to completion)	Meticulous in checking. Always sees things through	Usually thorough	Reasonably careful	Superficial. Does not follow through if difficulties arise	Does not complete assignments satisfactorily	
5. JUDGMENT (Ability to make balanced decisions)	Sound, mature judgment. Makes decisions readily	Good judgment on most problems	Carefully considers decisions	Indecisive. Disregards important facts	Poor judgment	
PROFESSIONAL QUALITIES — 6-10						
6. TECHNICAL KNOWLEDGE (Familiarity with skills, tools, techniques of job)	Thoroughly grounded in skills and tools. Incorporates new techniques	Understands basic techniques and uses some new developments	Understands basic techniques	Has few skills; unable to apply them	Does not have basic skills	
7. PROFESSIONAL KNOWLEDGE (Keeps pace with professional developments)	An omnivorous reader; broad knowledge & interests	Reads widely and intelligently	Reads relevant materials	Reads little; lacks interest	Intellectually apathetic; does not keep pace	

						COMMENTS
8. PROFESSIONAL ACTIVITIES (Interest in library and allied organizations)	Enters into professional activities with enthusiasm & active interest	Interested member of professional groups	Joins organizations. Has had little opportunity to be active	Slight interest in professional groups	Not interested	
9. RELATIONS WITH LIBRARY PUBLIC OR STAFF (Approachability, desire to assist)	Enthusiastic; sought by readers or colleagues	Easily approached and responsive; is able to interpret problems	Gives help willingly on request	Indifference apparent	Antagonizes others	
10. AWARENESS OF UNIVERSITY COMMUNITY (Ability to analyze the possibilities of library service to the university community)	Measures accurately university needs and interests	Interested in library service to the university community	Willing to consider university interests and needs	Knows little about university interests and needs	Indifferent to the community the library serves	
PERSONAL QUALITIES — 11-15						
11. INITIATIVE (Ability to think creatively and effectively)	Brilliant and creative mind	Has imagination. Devises new schemes & methods	Moderately resourceful	Rarely makes suggestions or starts activities	A plodder. Needs direction	
12. SELF-DEVELOPMENT (Eagerness to improve and advance)	Systematically prepares self for more advanced work	Puts forth an extra effort to improve and learn	Interested in self-improvement	Little ambition. Hoping for a lucky break	Interested only in getting by	
13. CO-OPERATIVENESS (Ability to do team work)	Actively helpful	Good teamworker. Usually ready to co-operate	Works well with most people	Works poorly with others	Cannot work with others	

						COMMENTS
14. ADAPTABILITY (Ability to accept other ideas and methods of work)	Exceptionally openminded. Eager to test new ideas	Readily accepts new ideas	Receptive to new ideas	Satisfied with status quo	Rejects new methods and ideas	
15. ATTITUDE TOWARD INSTRUCTION/ CRITICISM	Seeks instruction and constructive criticism. Profits by it	Welcomes instruction/criticism and acts upon it	Generally accepts instruction/criticism	Usually looks for an alibi	Resents and rejects instruction/criticism	
ADMINISTRATIVE ABILITY — 16-20						
16. FAIRNESS TO SUBORDINATES	Exceptionally fair, sympathetic & understanding	Deals justly, impartially & firmly	Deals fairly in most cases	Sometimes unjust	Plays favorites. Easily prejudiced	
17. ABILITY TO TRAIN	Develops staff members to a high degree of effectiveness	Achieves definite progress with most staff members	Usually develops good workers	Rarely develops staff	No training ability	
18. JUDGMENT OF PERSONNEL (Analysing and estimating abilities of staff)	Has extraordinary ability to see merits and deficiencies in people	Makes sound decisions and is ready to act on them	Reasonably good judge	Likely to misjudge	Judgment cannot be trusted	
19. LEADERSHIP (Ability to stimulate)	Exceptional and inspiring leadership	A good leader, thoroughly respected	Able to lead but does not inspire	Has little influence on others	Ineffective	
20. SUPERVISORY ABILITY (Overseeing and guiding accomplishment)	Unusual ability to guide work of others and to detect and eliminate obstacles	Good supervisor, Keeps work running smoothly. Assigns work skillfully	Obtains adequate results from staff	Lack of perception and foresight hampers accomplishment	Unable to supervise	

DUKE UNIVERSITY LIBRARY
ESSAY EVALUATION OF PROFESSIONAL LIBRARIANS

NAME_____ PERFORMANCE REVIEW _____DATE_____

NAME OF SUPERVISOR_____DEPARTMENT_____

PERIOD COVERED_____

This essay form for supervisory evaluation is to be used in conjunction with, or in place of, the rating scale form to provide information for promotion and salary determinations and other personnel actions. The criteria for promotion, described in "Ranking Structure for Duke University Librarians", provide the basic guidelines for the evaluation. The additional guidelines specified below may be used at the supervisor's discretion.

The evaluation should be available to the evaluated librarian and an evaluation conference held, if desired.

1. Job performance - Assess the librarian's understanding of his job and its relationship to the total library program. Consider organizational ability, the ability to integrate his work within the total service concept and with other units. Mention specific aspects of the job wherever possible.
2. Quality and quantity - Compare these factors to the requirements of the job. Consider basic knowledge, thoroughness and general quality of work, analytical ability, judgment, and reliability.
3. Personal relationships - Assess the librarian's ability to work effectively with people to accomplish library objectives.
4. Responsibility and initiative - Consider willingness to assume responsibility, accept instruction and criticism, develop abilities; imagination and resourcefulness.
5. Areas for improvement.
6. Promotion potential - What capacity does the librarian exhibit to assume growing responsibility in the job and/or to perform the duties of a higher-level job? Consider delegation of responsibility, leadership, and mental and physical capacity to maintain professional output.

JUL
ULMS

9-73

I recommend this librarian for continuation___promotion___termination___.

Supervisor's signature_____

Evaluated librarian's signature_____
Comments (Continue on back)

Assistant or Associate University Librarian's signature_____

COLUMBIA UNIVERSITY
Interdepartment Memorandum

Date December 3, 1973

To Supervisors evaluating Professional Staff

Subject General Guidelines for Professional Performance Appraisal

During the past several years there has been considerable discussion concerning the need to re-evaluate the performance appraisal program used for professional staff members. The topic has been considered in depth by the Representative Committee of Librarians in their meetings and in discussions with the professional staff. In addition, the management study recommended the adoption of a program of regular performance appraisal and made specific recommendations concerning other aspects of staff development. The Staff Development Committee has worked with the office of the University Librarian in the preparation of the attached guidelines and appraisal form.

In the hope of meeting the goals of all concerned, we are beginning a new program of performance appraisal of professional staff. The object of this program is to help develop staff members' fullest potential in order to meet their needs and goals and at the same time to accomplish the objectives of the library system and the University community as a whole.

APPRAISAL FORM

The first performance appraisal form is attached. The supervisor is asked to review and evaluate the accomplishments of the individual staff member and to assess the particular strengths and weaknesses of the employee. In addition, the supervisor is asked to consider the areas in which the employee might benefit from specific training or development. The employee's strengths and potential ability should be important considerations in the development plan. It is assumed that in the future the supervisor and employee will have agreed upon standards of performance to be met and will have established mutual goals.

We ask for your comments and criticism of the appraisal form itself, so that improvements can be incorporated in future versions.

Frederick Duda
Assistant University Librarian
for Personnel

INSTRUCTIONS

Professional Staff Performance Appraisal

Please read the attached position description before completing the appraisal form for _____.
Name of Staff Member

Question 1. Extract the primary tasks from the position description and list them in order of priority in answering this question.

Question 2. Indicate the over-all job performance. Evaluate the actual task performed and quality of that performance. If you have not discussed some of the tasks listed under question 1 or have added any, please explain.

Question 3. In answering this question, in addition to the factors suggested, you may wish to include factors not listed in the box.

Question 4. Identify the areas in which the staff member needs improvement and ways in which you, as supervisor, can assist the staff member to achieve this.

Question 5. Self-explanatory.

When the form is completed, discuss it with your supervisor.

After meeting with your supervisor, arrange a Performance Appraisal Conference with the staff member being appraised at a location that will allow private conversation and for a sufficient length of time so that neither person will feel pressured.

The discussion should include but not be limited to the questions on the form. Discussion of any other matters that could help improve relations and work toward mutual objectives should be included. Emphasis should be on employee strengths and ways to better utilize them. At the conclusion of the conference, the staff member is given the opportunity to read the completed form and to make written comments on it, if desired. Whether or not comments have been made, the staff member must sign the form where designated.

Please forward the signed form in an envelope marked CONFIDENTIAL To: Assistant University Librarian for Personnel, Library Personnel Office, 315 Butler

APPRAISAL PROCEDURE

1. Preliminary Assessment. Prior to completing the form, give careful consideration to the following:

   a. The individual's strengths and weaknesses;

   b. A plan for meeting the developmental needs of the individual;

   c. An estimate of the individual's potential, in developing him within the context of his present job, in the sense of the individual's moving to a higher level of responsibility, or into another area.

2. Complete the appraisal form using the attached instructions.

3. The Review with Your Immediate Supervisor. This step is necessary for several reasons:

   a. You as a supervisor have the responsibility for reaching your objectives and those of your staff;

   b. The review process provides your supervisor with information on your staff which he needs to obtain an understanding of the relationship of the performance of your staff to others;

   c. Your supervisor may have a broader view of the organization and of the possibilities for training, advancement, etc., for the individual concerned.

4. The Appraisal Interview. This is an extremely important part of the appraisal, and the following suggestions should be considered for the interview.

   a. Several days in advance, arrange the date and time of the interview with the employee.

   b. The physical arrangement should be well planned. It should be private, and there should be enough time to finish the interview without a feeling of haste.

   c. Emphasize that one of the purposes of the appraisal is to help the employees help themselves.

   d. Encourage self-examination on the part of the employee.

   e. Begin by discussing some strengths. Be specific, using examples.

f. Inquire about problems or obstacles that the employee finds are impeding progress and job satisfaction. Mutual understanding of the problems may help in their resolution.

g. Be a good listener.

h. Ask the individual if you can do anything (e.g. behavior, attitude) to help on the job. (This provides you with feedback on your behavior and how it affects your staff.)

i. When reviewing areas in which the employee needs development, discuss only a limited number. Direct your discussion to those major areas which are critical for job performance and for which you can provide examples.

j. Discuss a plan of action for training, personal development, opportunity for growth, not only to help strengthen the employee but to take advantage of his strengths and potential ability.

k. Be sure the employee knows where he stands, in what areas he needs improvement, what plan of action will help him achieve that improvement, and what opportunities are available to him for future development. A recapitulation of key points, made by either the employee or the supervisor, or both, is a good way to assure joint understanding.

5. The Follow Through. It is the supervisor's responsibility to review the employee's progress and to encourage as well as facilitate the employee's participation in the agreed upon plan of action. An interim appraisal may be necessary to maintain this contact.

INDIVIDUAL'S COMMENTS

After reading the completed form, the individual being evaluated may comment in writing on the appraisal.

Professional Staff Performance Appraisal

Columbia University Libraries

STAFF MEMBER NAME		TITLE & UNIT	
P.C. & DATE	NAME & DATE	DATE OF HIRE	DATE ASSIGNED CURRENT SUPERVISOR
PREVIOUS ASSIGNMENT - IF CURRENT ASSIGNMENT LESS THAN SIX MONTHS		TITLE	DATES

SUPERVISOR NAME	TITLE	DATE

THE DUAL PURPOSE OF THIS APPRAISAL IS TO PROVIDE A RECORD OF JOB PERFORMANCE OF THE STAFF MEMBER SINCE HIS/HER LAST APPRAISAL AND TO SUGGEST THE PARTICULAR AREA(S) IN WHICH THE STAFF MEMBER WOULD BENEFIT FROM TRAINING AND/OR OTHER DEVELOPMENTAL ACTIVITIES.

-USE THE BACK FOR ADDITIONAL SPACE IF NEEDED-

1. DESCRIBE BRIEFLY THE RESPONSIBILITIES OF THE POSITION AND SPECIFY THE PRIMARY TASKS PERFORMED.

2. HOW EFFECTIVELY HAS THE STAFF MEMBER FULFILLED THE RESPONSIBILITIES OF THIS POSITION?

SOME FACTORS FOR CONSIDERATION IN ANSWERING THE QUESTIONS ON THIS PAGE:

-PROFESSIONAL SKILLS	-JUDGEMENT	-ADAPTABILITY
-ORAL AND WRITTEN SKILLS	-RELIABILITY	-HUMAN RELATIONS
-ORGANIZATION AND PLANNING	-INITIATIVE	-LEADERSHIP
-RESOURCEFULNESS	-ATTITUDE	-SUPERVISORY ABILITIES

3. DESCRIBE THE PARTICULAR STRENGTHS OF THE STAFF MEMBER AS DEMONSTRATED IN THE POSITION.

4. INDICATE THE AREA(S) AND SUGGEST THE WAYS IN WHICH THE STAFF MEMBER CAN IMPROVE PERFORMANCE IN THE POSITION.

5. SUGGEST ANY FORMAL TRAINING NECESSARY TO ACCOMPLISH SUGGESTIONS MADE UNDER QUESTION 4.

APPRAISAL MADE BY

SUPERVISOR'S SIGNATURE _____ DATE _____

STAFF MEMBER'S COMMENTS:

STAFF MEMBER'S SIGNATURE _____ DATE _____

FORWARD THE COMPLETED FORM IN AN ENVELOPE MARKED CONFIDENTIAL TO
ASSISTANT UNIVERSITY LIBRARIAN FOR PERSONNEL, LIBRARY PERSONNEL OFFICE, 315 BUTLER

A1

3

STAFF COMMENTS

PROFESSIONAL STAFF PERFORMANCE APPRAISAL FORM

IF THERE WAS DIFFICULTY ANSWERING ANY QUESTION, WHICH QUESTION(S) AND WHY?

IN WHAT WAYS DID THE FORM PROMOTE OR INHIBIT A MEANINGFUL APPRAISAL INTERVIEW?

HOW COULD THE FORM BE IMPROVED TO ACCOMPLISH THE GOALS OF THE APPRAISAL INTERVIEW?

OTHER COMMENTS:

NAME _____ DATE _____

FORWARD THE COMPLETED FORM IN AN ENVELOPE MARKED CONFIDENTIAL TO
ASSISTANT UNIVERSITY LIBRARIAN FOR PERSONNEL, LIBRARY PERSONNEL OFFICE, 315 BUTLER

AI.1

SEC EVALUATION FORM

NAME:

SUPERVISOR'S NAME:

DATE:

1. Knowledge of work assignment	10	9	Mastery of all phases of work
	8	7	High level of comprehension
	6	5	Adequate comprehension
	4	3	Minimal comprehension
	2	1	Inadequate comprehension
2. Professional & intellectual growth & attainment	10	9	Relates professional developments to job
	8	7	Keeps up with developments in job related fields
	6	5	Shows interest in profession and in job
	4	3	Only casually interested in profession & job
	2	1	Shows little or no interest in profession or job
3. Service orientation	10	9	Seeks new & effective means of service
	8	7	Shows concern for library service
	6	5	Considers only obvious service needs of public
	4	3	Shows minimal concern for service
	2	1	Indifferent to needs for service
4. Adaptability	10	9	Exceptionally open minded & flexible
	8	7	Willing to try new ideas
	6	5	Prefers established routines
	4	3	Has difficulty accepting new ideas
	2	1	Rejects new ideas

5. Judgment	10	9	Sound, mature judgment
	8	7	Good judgment on majority of issues
	6	5	Generally makes acceptable decisions
	4	3	Indecisive; avoids decisions
	2	1	Poor judgment
6. Initiative	10	9	Generates and implements new ideas
	8	7	Seeks additional responsibility
	6	5	Willingly accepts responsibility
	4	3	Does assigned tasks
	2	1	Usually needs prodding
7. Staff cooperation	10	9	Very agreeable; promotes harmony
	8	7	Always pleasant; works well with others
	6	5	Usually congenial & even tempered
	4	3	Sometimes difficult to get along with
	2	1	Irritable; arouses hostility
8. Thoroughness	10	9	Exceptional, always sees things through
	8	7	Usually thorough & accurate
	6	5	Moderately careful; work usually acceptable
	4	3	Careless
	2	1	Inaccurate
9. Productivity	10	9	Well organized; exceptionally fast worker
	8	7	Rapid worker; efficient, organized
	6	5	Works steadily; usually efficient & organized

	4	3	Does minimum acceptable work
	2	1	Disorganized; unable to complete assignments
	0		Not applicable
10. Relationships with individual users	10	9	Exceptionally responsive to needs of the public
	8	7	Always courteous, goes out of the way to be helpful
	6	5	Usually courteous & helpful
	4	3	Has some difficulty in relating to library users
	2	1	Poor public relations
	0		Not applicable
11. Management ability	10	9	Plans and works continuously for greater efficiency
	8	7	Seeks to solve problems; keeps work running smoothly
	6	5	Usually obtains adequate results
	4	3	Hesitant; sometimes fails to see things through
	2	1	Lacks perception & planning
	0		Not applicable
12. Leadership	10	9	Creative, stimulating; an outstanding leader
	8	7	Inspires confidence; sought out
	6	5	Able to lead when called on
	4	3	Has little influence on others
	2	1	Ineffectual as a leader
	0		Not applicable

13. Ability to train & develop staff	10	9	Generally achieves high level of staff competence
	8	7	Consistently achieves definite progress with each person
	6	5	Seeks to develop staff potential
	4	3	Rarely develops staff potential
	2	1	No training ability
	0		Not applicable

Total maximum points: 130 Total earnable points:_____ Total points:_____

Percentage:_____

Comments: (Evaluation is not complete without commentary by supervisor. Please use back of sheets if necessary.)

UNIVERSITY OF KENTUCKY LIBRARIES

PROFESSIONAL PERFORMANCE REVIEW

Name_____ Date_____

Department_____ Review Period_____

Position_____

S E C T I O N "A"

This section is to be filled out by the appraisee and returned to the Department Head or supervisor. It will be used as a basis for discussion during the performance interview. Use additional sheets if necessary and attach. If there are no significant changes from the form completed last year, check here_____ and go to section "B".

1. Briefly describe your present duties and responsibilities.

_____

_____

_____

_____

2. What projects or goals would you like to achieve during the next review period? Have you achieved the goals you expected to during the current review period? Please be as specific as possible in both answers.

_____

_____

_____

_____

3. Are there areas of your job in which you feel you need additional experience and training? If so please describe and explain your plan for meeting your needs.

_____

_____

_____

_____

4. What aspects of your job interest you the most? What activities gave you the most satisfaction during the past review period?

5. What aspects of your job interest you the least?

6. Are there changes which you would like to see made in your job so that you could improve your performance? If so, how would these changes benefit the library system?

S E C T I O N "B"

1. Please list any activities in which you have been involved during the current review period which have a direct bearing on your success as a librarian as it relates to your specific job assignment, the total library system, the university, and/or the library profession in general. Include such things as courses taken, conferences or workshops attended, research projects, publications, teaching, consulting, committee work, society memberships, etc.

The following definitions are to be used as guides in giving consideration to the Seven Areas to be Evaluated.

a. Judgment: Possesses the skill to analyze problems and arrive at sound conclusions from available facts in a logical, intelligent manner.

b. Quality of Work: Has ability to perform various functions of job with consideration given to difficulties encountered. Accuracy, thoroughness and dependability are qualities to be considered.

c. Quantity of Work: The amount of work done is sufficient when measured with other relevant factors such as level of responsibility, experience, and quality.

d. Professional Knowledge: Knows bibliographical tools, has the ability to use these tools intelligently in order to implement personal goals and the policies of the library which relate to the meeting of the needs of the patrons and staff.

e. Professional Growth: Develops the maturity to face the needs of the job, sets goals in considering these needs and shows a willingness to follow the course of action mutually agreed upon. Willingness to take part in programs of continuing education and able to suggest or recommend and/or accept changes in procedures and plans when needed.

f. Communication: Can accurately and effectively express his opinions and ideas concerning a problem or situation to the right person at the right time.

g. Attitude: Manner and orientation with reference to colleagues, work, and patrons is positive and effective.

The following definitionsare to be used a guides in assigning a level of achievement in each of the areas to be evaluated.

Outstanding- Superior performance in all respects. Shows exceptional promise for continued professional development.

Excellent- Excellent performance in most respects. Some minor weaknesses, but shows great promise for continued professional development, or an exceptionally high level of continuous performance.

Above Average- Good performance in most respects. Shows some weaknesses which could be overcome if properly

motivated, or maintains an unusual level of continuous performance

Average- Performance is satisfactory but not distinguished. Promise for continuing professional development seems to be lacking.

Below Average- Performance is uneven and somewhat unpredictable, resulting in a combination of good and bad results. Little promise for growth or further development.

Unsatisfactory- Performance is unacceptable.

S E C T I O N "C"

This section is to be filled out by the supervisor and read by the appraisee prior to the performance interview.
Use additional sheets if necessary and attach to appraisal form.

1. Do you agree with the job description as stated by appraisee? If not, please specify why not.

2. Review projects and goals in item 2, Section A. Can you suggest a time table for achieving or giving progress reports on these goals? Do you want to suggest any changes in those stated or establish additional projects or goals?

(In completing the following seven items refer to the definitions on page 3. Circle the number in the left margin that corresponds to the level of performance for each item.)

3. Judgment and decision making. (Does the appraisee consider both the short-term and long-term consequences of decisions made? Does appraisee consider the impact these decisions will have on the total library system? Does appraisee apply good judgment in work situations?)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

4. Comment on quality of work based upon the above job description. (Take into consideration the degree of excellence of a completed assignment in view of the amount of time and effort expended. Also consider thoroughness in following through to completion.)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

5. Quantity of Work.

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

6. Comment on Professional Knowledge of bibliographic resources: (consider the depth of familiarity the appraisee has with the standard library tools in the area of specialization and related fields, and whether or not the appraisee continues to keep up with the latest publications in the field. Does he demonstrate a comprehension of the campus wide responsibility of the library system?)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

7. Professional Development. (Consider activities over and above the regular job assignment that have had a bearing on the appraisees professional growth.) Study item 7 in Section A.

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

8. Oral and written communication. (Does the appraisee express herself (himself) clearly and accurately? Is the appraisee effective in meetings and conferences? Does the appraisee keep her (his) supervisor informed of project progress? Can the appraisee communicate effectively with the public and other members of the library staff?)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

9. Attitude. (Is he pleasant, courteous, informative and cooperative with both his associates and patrons?)

4.0 Outstanding _____

3.5 Excellent _____

3.0 Above Average _____

2.5 Average _____

2.0 Below Average _____

1.0 Unsatisfactory _____

10. Provide a summary statement of the strengths and weaknesses of the appraisee and indicate what should be emphasized during the next review period in order to improve performance. This may include such things as general attitude toward assigned duties, the ability to win cooperation from fellow librarians and/or a summary of any of the above items.

11. Final Rating Summary.

Category	Level of Performance Score	Multiplied by	Relative Weight of Importance		Subtotal
Judgment	_____	X	_____	=	_____
Quality of work	_____	X	_____	=	_____
Quantity of work	_____	X	_____	=	_____
Professional knowledge	_____	X	_____	=	_____
Professional growth	_____	X	_____	=	_____
Communication	_____	X	_____	=	_____
Attitude	_____	X	_____	=	_____
		Total Performance Score			_____

Note: Fill in Relative Weight of Importance of 1-5 for each category; total must equal 20. In order to calculate final rating, multiply the score in each category by the designated weight. Add the subtotals to obtain Performance Score. Divide Performance Score by 20 - carry to two decimal places and round to nearest tenth. Place this final numerical rating within the appropriate numerical range below.

Total Performance Score _____ ÷ 20 = _____ (Numerical Rating)

Numerical Range	4.0	3.9 - 3.5	3.4-3.0	2.9-2.5	2.4-2.0	1.9-1.0
Numerical Rating						
Verbal Rating	Outstanding	Excellent	Above Average	Average	Below Average	Unsatisfactory

Appraisor's Signature_____ Date_____

12. Appraisee's Comments. (Optional)_____

_____

_____

_____

13. I have seen and discussed the ratings on this review and (I do) (I do not necessarily)agree with the ratings and comments.

Appraisee's Signature_____ Date_____

SUGGESTED CRITERIA FOR PROMOTION OF LIBRARY FACULTY

A. Research or Scholarship

1. Publication. Examples:
   a. publication may be in any academic area--the work of an academic librarian may well benefit from insight into research methodology and problems
   b. articles or books on professional matters
   c. speeches or presentations
   d. book reviews
   e. translations and abstracts
2. Administrative records involving extensive research and the exercise of professional judgment
3. Bibliographies
4. Creative work. Examples:
   a. a recognizable achievement that spills over into the understanding of the needs of library users
   b. something put to work for library purposes, as designing an exhibit or planning a musical or literary program.
5. Continuing education.

B. Teaching (as interpreted for librarians)

1. Formal classes in bibliography
2. Orientation activities; demonstrated effectiveness in formal and non-formal education programs concerning the resources and use of university library services and facilities
3. Special projects in acquisition or cataloging carried out with cooperation of academic department. Examples:
   a. participation in effort to acquire "out-of-print" books to support teaching program

b. participation in the recataloging of a large collection to make it more accessible to students
c. adapting of cataloging practices to non-book materials so that they can be more readily available.

C. Professional Competence and Activity

1. Active participation in professional associations

2. Awareness of and knowledgeability in matters of educational philosophy and administration

3. The undertaking of various administrative responsibilities. Examples:

   a. may include heading a department
   b. directing a special project
   c. instructing new employees and supervising their work
   d. serving on committees concerned with library policies and operations

4. Foreign language competence

D. Service to the University. Examples:

1. Serving on various university committees

2. Participating in special university projects

3. Serving on various public committees as a representative of the university

4. Contributing professional expertise to public concerns

E. Special Considerations

VII.B.

WASHINGTON UNIVERSITY LIBRARIES

ST. LOUIS, MISSOURI 63130

November 13, 1973

PERFORMANCE REVIEW

To: Members of the Library Staff

From: John M. Strecker, Assistant University Librarian

Re: Job Performance Evaluations for Non-academic Staff Scheduled for November-December 1973

The evaluation procedure used last year has been reviewed by the Department Chiefs and the Personnel Policy Advisory Committee. Basically the same procedure will be followed this year, except for modifications recommended by the department heads and the Committee. Staff members who have held the same position for five or more years will be exempt from the evaluation procedure.* New staff members (less than nine months service in the particular position) receive evaluations after three and six months of service and, therefore, do not receive the annual evaluation. The written evaluations completed last year will be made available to the staff member and the supervisor in order that any plans, recommendations, or suggestions recorded in last year's evaluation can be reviewed.

The evaluation consists of the following components:

1. Review and revision of Job Description
2. Review of last year's Performance Evaluation Summary
3. Evaluation of job performance based on specific duties assigned
4. Discussion of any significant problems involving supervision of staff member's work
5. Job satisfaction
6. Goals for future relative to present or higher level job
7. Assessment of requirements (experience, training, etc.) to achieve goals.

The first phase of the performance evaluation is the review of the Job Description. After the staff member and his/her supervisor have reviewed the Job Description and made any necessary revisions to make it as accurate and complete as possible, the supervisor schedule a conference with the staff member to discuss points 2 through 7 above. A form (Performance Evaluation Summary) will be used to record the results of the conference. At the conclusion of the performance evaluation the staff member and the supervisor sign the form, the original is filed in the individuals personnel file in the Administrative Office and a copy is given to the staff member.

The Guidelines for the Performance Evaluation and the various forms will be sent to Department Chiefs in a few days.

*(Any staff member, regardless of years of service, may request and receive a performance evaluation, however; also the supervisor may schedule an evaluation for any staff member under his/her supervision.)

VII.B.

WASHINGTON UNIVERSITY LIBRARIES

ST. LOUIS, MISSOURI 63130

November 13, 1973

To: Department Chiefs, Departmental Librarians

From: John M. Strecker, Assistant University Librarian

Re: Job Performance Evaluations for Non-academic Staff

As we discussed in a recent department heads' meeting, the annual performance evaluations for non-academic staff have been scheduled for November-December. Because of a delay in getting the required materials to you, the deadline for completion of this work has been moved ahead to December 14.

Although staff with less than nine months' service in a position (by December 14) and those with five or more years in a position are exempt from the evaluation procedure, the Job Descriptions for all positions held by non-academic staff should be reviewed at this time. If no changes are necessary, please indicate that a review was made and the date on the Job Description.

Last year's Performance Evaluation Summaries are being forwarded for review. Please be sure to return these with the Summaries that will be completed in connection with this annual evaluation. Please staple the latest Summary for a staff member on top of last year's before sending them to the Administrative Office and group the Job Description forms separately from the Summaries.

The material listed below is being forwarded for use in connection with the performance evaluation:

1. List of staff who are exempt from 1973 evaluation
2. Set of last year's Performance Evaluation Summaries
3. Set of Job Descriptions for all non-academic staff positions in your department
4. Copy of letter being sent to each staff member, explaining the evaluation procedure
5. Job Description forms to be used in preparing updated descriptions
6. Copy/copies of Guidelines for Performance Evaluation
7. Samples of completed Job Description form

VII. B.

WASHINGTON UNIVERSITY LIBRARIES

GUIDELINES FOR PERFORMANCE EVALUATION
(NON-ACADEMIC STAFF)

PURPOSE: The purpose of the evaluation is outlined below:

1. To evaluate staff member's work performance since the last review.

2. To obtain the staff member's views concerning quality of supervision he receives and to work out any problems that may exist in the area of supervision.

3. To conduct an annual review of the job description for each position, with any necessary revision being done by the incumbent and his supervisor.

4. To insure that the staff member understands his duties and responsibilities and to clarify them if necessary.

5. To assess the staff member's satisfaction with his present job and interest in and potential for re-assignment or advancement.

6. In connection with 5., to assess what skills or special training are needed to qualify for a particular position or positions and the availability of appropriate training programs (courses, in-service training, etc.).

PROCEDURES:

1. The department head or supervisor informs the staff member the date and time of the evaluation conference and gives him a copy of the job description for his position. (Previous to this, the University Librarian has sent a letter to all non-academic staff explaining the purpose of the evaluation.)

2. Prior to the evaluation conference, the supervisor and staff member review the description and make any necessary revisions.

3. In the evaluation conference itself, the supervisor discusses the staff member's performance in the job. The revised job description may serve as a framework or outline for reviewing the performance in the various duties assigned. Points 4, 5, and 6 (under Purpose) should be covered in the discussion as appropriate. The supervisor summarizes the discussion under Section II of the Performance Evaluation Summary. If goals are set, these should be stated along with a recommendation as to how goals may be achieved.

4. The staff member is given the Performance Evaluation Summary to review. He writes his comments under Section III, adding any points which the supervisor has missed and indicating his reaction to the supervisor's comments. He then signs the form in the space provided and returns it to supervisor for his signature. He may, of course, request clarification from his supervisor on any aspect of the supervisor's summary. The department chief is responsible for seeing that a photocopy of the Performance Evaluation Summary is made and given to the staff member and that the original is forwarded to the Administrative Office for review and filing in the staff member's file.

(10-11-72)

WASHINGTON UNIVERSITY LIBRARIES

PERFORMANCE EVALUATION SUMMARY

NAME _____

JOB TITLE _____ CLASSIFICATION _____

DEPARTMENT _____

SECTION I. REVIEW AND REVISION OF JOB DESCRIPTION. (Attach current revised job description.)

SECTION II. SUPERVISOR'S SUMMARY OF PERFORMANCE EVALUATION CONFERENCE

SECTION III. STAFF MEMBER'S COMMENTS CONCERNING PERFORMANCE EVALUATION CONFERENCE

_____
Signature of Staff Member/Date

_____
Signature of Supervisor/Date

_____
Signature of Dept. Chief/Date

Distribution:
Staff member
Staff member's file, Admin. Office

WASHINGTON UNIVERSITY LIBRARIES

JOB DESCRIPTION FORM — NON-ACADEMIC POSITION

Job Title_____ Department_____

Classification_____ Prepared by_____

Date_____

Introduction:

Description of Duties:

(Continue on second sheet, if necessary)

WASHINGTON UNIVERSITY LIBRARIES

Evaluation Date:_____

Began Work:_____

To: Assistant Director for Reader Services/Technical Services

Subject: Three-month Evaluation for _____

_____ Department

The following is my evaluation and recommendation concerning the staff member named above.

1. A _____ Staff member is not able to meet the requirements of this position; termination is recommended.*

   B _____ Staff member shows promise, but must make more progress in the following areas before qualifying for regular appointment:

   C _____ Staff member is making satisfactory progress.

2. The staff member's progress and my recommendations were discussed with him on .

_____

Department Chief or Supervisor

* A recommendation for termination should be discussed with the Assistant Director before a discussion with the employee.

VII.B.

WASHINGTON UNIVERSITY LIBRARIES

Evaluation Date:_____

Began Work:_____

To: Assistant Director for Reader Services/Technical Services

Subject: Six-month Evaluation/Recommendation for Continuing Appointment

for _____;_____Department

The following is my evaluation and recommendation concerning the staff member named above.

1. A_____This staff member has performed satisfactorily during the first six months in the position and is recommended without reservation for continuing appointment.

*B_____I am not able to recommend this staff member for continuing appointment at this time; I wish to evaluate his performance again in three months because of the circumstances described below:

C_____This staff member is not recommended for continuing appointment. **The reasons are stated below:

2. The staff member's progress and my recommendations were discussed with him on _____.

_____
Department Chief or Supervisor

*Use reverse side if additional space is needed.

**A recommendation for termination should be discussed with the Assistant Director before discussion with the staff member.

GUIDELINES FOR PROFESSIONAL STAFF EVALUATION

PURPOSE:

The professional evaluation may be considered in part as the annual report of the individual staff member, particularly those who are not department heads. It is intended to give the staff member the opportunity to record his accomplishments during the period and his goals for the future. It is used as a basis for discussion of these goals with the supervisor and the consideration of any problems the staff member may have encountered in the work situation. The evaluation becomes a part of the staff member's permanent record and provides information useful for the staff member's future development.

PROCEDURES:

The evaluation is conducted following the first six months in a professional position. It should be conducted annually thereafter for the first seven years on the library staff, ordinarily being due in January each year. If a promotion or transfer to another position occurs after the first seven years, it will be conducted after the first six months in the new position. The professional staff evaluation may be conducted at any time for any professional staff member at his request or at the discretion of the University Librarian.

The following steps are to be followed in the evaluation:

1. **Written self-evaluation.**

This consists of a statement written by the staff member indicating his appraisal of his performance during the period covered by the report. This should include, but is not confined to the following: (1) accomplishments realized as part of the regular work assignment and/or outside the regular work assignment, e.g., through work on Library committees; (2) professional activities carried out through A.L.A., or other relevant organizations; (3) problems, frustrations encountered in the position; (4) work-related goals and objectives and formal or informal training which would aid in achieving these goals.

2. **Written comments by supervisor.**

The supervisor should comment concerning the performance of the staff member in the position, and should respond to the staff member's self-evaluation as appropriate.

3. **Conference between staff member and supervisor.**

4. **Written comments by staff member evaluated, responding to those of the supervisor (optional).**

5. Assistant Director/University Librarian review.

The staff member should have a minimum of 24 hours to review the supervisor's written evaluation before the discussion-interview (step 3) takes place. The use of the evaluation form is optional; however, the steps outlined above should be followed. The evaluation procedure will apply to professional staff promoted after January 1, 1971. The annual evaluation will not apply ordinarily to present staff hired prior to 1966. As stated above, an evaluation may be scheduled for any staff member at his request or the request of the University Librarian.

1-17-72

Promotion Plan for Librarians at the University of Maryland, College Park

INTRODUCTION

> "The academic librarian makes a unique and important contribution to American higher education. He bears central responsibility for developing college and university library collections, for extending bibliographical control over these collections, for instructing students (both formally in the classroom and informally in the library), and advising faculty and scholars in the use of these collections. He provides a variety of information services to the college or university community, ranging from answers to specific questions to the compilation of extensive bibliographies... Through his own research into the information process and through bibliographical and other studies he adds to the sum of knowledge in the field of library practice and information science. Through membership and participation in library and scholarly organizations, he works to improve the practice of academic librarianship, bibliography, and information service." (ACRL, "Standards for Faculty Status for College and University Librarians," College and Research Library News, May 1974.)

For too long the traditional administrative organization of academic libraries has followed the hierarchial array which recognizes authority and decision-making responsibilities as the basis for status and salary. Unless a librarian in the UMCP library system chooses the administrative route, the second level is the end of the road--and that only if a vacancy exists which may often be outside the person's area of specialization. An adequate promotion policy would stimulate each librarian to develop to the fullest possible extent professionally and would recognize outstanding performance in technical, bibliographic and subject areas which contribute to the educational and research missions of the University of Maryland.

In early 1973 the members of the Library Assembly charged the Conditions of Employment Committee with the study of promotion in place on the basis of merit. The Committee undertook the study and set as its objectives:

1) the formulation of a flexible promotion policy under which there would be opportunities for advancement to equally high levels in non-administrative as well as administrative positions and without necessarily changing job assignments;

2) the definition of the professional ranks in clear terms of qualifications and responsibilities;

3) the development of a fair evaluation procedure for each librarian's performance; and

4) the development of preliminary guidelines for implementation of the promotion plan.

The committee collected for study the policies of twelve other institutions known to have such a system in practice or under consideration, and it acknowledges its great debt to them not only for ideas, but also some statements.

At this time the committee presents for the consideration of the Library Assembly a plan for promotion of librarians at the University of Maryland, College Park.

The plan as formulated is intended to extend to all professional positions except administrative positions with the rank of Assistant Director and above and professional personnel in the Automation Services Department. The proposed four levels are to be called Librarian I, II, III, and IV, with each level requiring more advanced knowledge, competence, and evidence of professional growth. The plan offers alternative career ladders with opportunities for the librarian to advance in rank to the top rung in non-supervisory as well as supervisory positions. Since organizational requirements of the library system must determine the supervisory and administrative positions, a librarian cannot expect to secure an administrative promotion unless a vacancy exists. The non-administrative route, however, affords greater flexibility and librarians can be promoted on the basis of sustained excellence of performance and progressive professional development.

The beginning level is not intended to be a career grade. There are few positions that are inherently on the Librarian I level, but it is anticipated that normal turn-over will make possible the recurring appointment of beginning professionals to such positions, and it is understood that whenever possible vacancies will be filled at the beginning level.

The step from Librarian I to Librarian II is based on competent performance and is usually made at the end of the second year, never after the end of the third. A librarian who is not judged competent enough to be promoted must leave the library system. There will be no exceptions to this rule except for those present staff members who in the final ranking are retained at the first level. It is desirable that the supervisor detect incompetence during the first year probationary period and that at least six months notice be given, although the Associate Staff handbook requires only one month.

To move from Librarian II to Librarian III requires more than merely a satisfactory performance. Professional Level II, however, can be a career position and a librarian may remain at it indefinitely. It should be emphasized that seniority or length of service (except in so far as specified length of service is a requirement for promotion) is not to be a considering factor in promotions. The primary criterion is excellence of performance. Additional education, relevant research, and professional activities must be considered, but only as they enhance an already good performance. No number of advanced degrees or publications or committee assignments can compensate for poor job performance.

DEFINITIONS OF PROFESSIONAL LEVELS AND THE CRITERIA FOR APPOINTMENT OR PROMOTION

Librarian I

Definition:

This is the beginning professional rank, and it includes positions in which a wide variety of professional duties are performed. A person at this rank is understood to have had little or no professional experience and initially works under close supervision and follows established procedures.

Ordinarily by the end of two years the incumbent should be performing his duties with competence and should have demonstrated those professional qualities that merit his advancement to Librarian II. If not promoted by the end of the third year, the incumbent is not allowed to remain on the library staff, but he is given at least six months notice of his termination.

Criteria for appointment:

A person appointed to this rank customarily has a graduate degree in library science from an accredited institution and evidence of the potential for a successful career in librarianship. Persons who do not have such a degree but do have graduate level education in a subject appropriate to a library operation may occasionally be considered for appointment at this grade. For certain appointments a special subject knowledge or a working knowledge of one or more foreign languages is desirable or might be

required (e.g., a subject knowledge of business is desirable for a beginning business librarian, but a subject knowledge of music is required of a beginning music librarian).

Librarian II

Definition:

This is the rank to which librarians who have fully demonstrated professional competence either in the first professional level at the University of Maryland or in a comparable position elsewhere are promoted or appointed. Performance at this level is expected to be more advanced than at Professional Level I. On the projects where incumbent has had experience, general direction is all that is necessary. The incumbent may supervise the work of others.

At the end of two years the incumbent will be considered for promotion to Librarian III. Competent performance of assigned tasks, however, is never sufficient ground in itself for promotion. A librarian may stay indefinitely at the II level.

Criteria for appointment or promotion:

In addition to the basic qualifications for Librarian I this level requires at least two years of either professional library or other appropriate professional experience and demonstrated competence and skill in a specified area. The librarian must have given evidence of the ability to work well independently, to make sound decisions, to cooperate with colleagues, and to assume increasing responsibility. When applicable, supervisory skills, knowledge of foreign languages and subject specialties are desirable.

Librarian III

Definition:

This grade includes both administrative and non-administrative positions that require an advanced degree of specialization in a linguistic, technical or subject area related to the programs of the University of Maryland. The incumbent works independently, subject only to general review, and is expected to perceive and recommend methods of improving the library's services and procedures.

Criteria for appointment or promotion:

A person appointed or promoted to this grade must have a graduate degree in library science and four or more years of progressively responsible professional experience. The candidate must be a specialist in a substantial subject area (e.g., science, history, music) or in a complex technical field (cataloging, serials, bibliography, reference). For administrative positions candidates must have given evidence of supervisory and planning ability, leadership and good judgment. Candidates are expected to have an active interest in improving their professional or subject knowledge. Appointment or promotion to this level would be based on such factors as implementation of new methods and procedures, ability to foresee problems and devise means to overcome them, research, and publication. Appointment or promotion would also depend on a total assessment of a person's work rather than on any single accomplishment, but the essential characteristic of the Librarian III would be demonstrable achievement which goes beyond the limits of competent performance.

Librarian IV

Definition:

This grade includes both administrative and non-administrative positions that require recognized mastery of a major area of scholarship or an area of librarianship. Work is performed independently, with broad responsibility for results. The incumbent is responsible for recommending and implementing policies in consultation with other officers of the library administration.

Criteria for appointment or promotion:

In addition to the basic qualifications for the Professional Level III, appointment or promotion to this level requires also a graduate subject degree or a post masters degree in library science and seven or more years of progressively responsible professional experience, at least one in the system at the Professional Level III. Candidates must possess recognized mastery of a major area of scholarship (e.g., humanities, social sciences) or in a complex technical field (e.g., reference, cataloging, serials, bibliography). The candidate must have given demonstrable evidence of professional achievement in one or more of the following areas: research

and publication in either an appropriate subject area or in the field of library science and information retrieval; creation of significant innovations with respect to the library's collections, services or methods; participation in the library's or the university's teaching program; contributions to the library profession through active participation in professional societies. For administrative positions, the candidate must have demonstrated exceptional administrative and planning ability, leadership, sound judgment, and the ability to develop and evaluate proposals for improving the library's services and procedures.

PERFORMANCE APPRAISAL

A rigorous and fair appraisal procedure is essential to the success of this promotion plan, and is in the interests of both the individual and the Library. The committee recommends that an annual written review of the work of each librarian be made by the administrative officer of the department or unit in close consultation, where appropriate, with the immediate supervisor. It further recommends that the library system move as rapidly as possible toward the concept of management by objectives. Until, however, supervisors can be trained in this technique for measuring performance the committee feels that a combination of the evaluation essay and goal-setting be used.

The committee studied many evaluation forms and came to the conclusion that there is no perfect one. It presents tentatively the following three forms which together form the total Librarian Performance Evaluation:

1) The Annual Progress Report: This is the record of the librarian's activities for the past year and should be completed by the librarian and turned in to the rater at least two weeks before the evaluation;

2) The Goal-Setting Statement: After filling in the Annual Progress Report, the librarian records in this section the plans for the coming year, both regular assignments and special projects. How they are to be accomplished and how success or failure in meeting them can be measured should be included where appropriate. This is given to the rater with the Annual Progress Report. Objectives should be mutually established between the supervisor and the individual and it is possible that after discussion the goals will need to be revised--upwards or downwards. Once goal-setting

has been established, it becomes the most vital part of the evaluation process. It will be used to review the performance at the end of the year, thus will provide documentation for the evaluation.

3) The Evaluation of the Librarian's Performance: The form that the committee presents permits flexibility while at the same time giving clear guidelines so that all staff members will be judged by the same criteria. It aids supervisors in making an objective and comprehensive judgment of the librarian's performance. Professional service in the library, professional activities outside the library relevant to the candidate's position, research and other creative work, university and public service, and behavior on the job are all appropriate criteria to be considered in an evaluation, but excellence in job performance should carry more weight than the others.

Realizing that too few librarians in administrative positions have been properly trained in performance appraisal, the Conditions of Employment Committee strongly recommends the appointment of a Personnel Officer. Further investigation of the position is needed to define the necessary qualifications of this officer. The Personnel Officer would provide guidelines and training in making a fair performance appraisal and conducting the evaluation interview, would be an ex-officio member of all review committees to ensure continuity in the evaluation and review process, would also have full responsibility for the organization and implementation of personnel policies within the library system, including the establishment of staff orientation and development programs, and supervisory and management training. The committee would like to recommend that these programs be developed in cooperation with the Committee on Professional Development. Until this recommendation is implemented, it is recommended that the Administrative Assistant to the Associate Director or an experienced librarian appointed by the Executive Board of the Library Assembly and approved by the members assume the role.

Annual Progress Report - Librarian

Name: Title:

Date:

1. Description of typical activities and special projects or assignments related to position such as systematic development of one or more areas of the library's resources and collection; cataloging, classifying, or otherwise extending the bibliographic control over the library's collection; providing guidance and assistance in the use of the library's bibliographical apparatus and collections; providing formal instruction in research methods and library use; organizing or managing the operations of a library department, a branch library, or other library unit.

2. Professional activities (relevant to better performance)
Education during the year, special library or university assignments, active membership in professional organization, offices held, research and publication, etc.

GOAL-SETTING STATEMENT

Name _____ Date:

Please describe your goals for the coming year, including means to achieve them and, where possible, measures of success.

1. Job skills and regular assignments

2. Special projects

3. Professional development

SUPERVISOR'S COMMENTS:

Explanations for use with Librarian Performance Evaluation Form

Professional Service in the Library - Definition of terms

Quality of work - ability to analyze situations and to reach sound conclusions; to approach problems imaginatively; to use job knowledge creatively; to be thorough and accurate; to contribute new and workable ideas; and to respond to new ideas and procedures.

Quantity of work - ability to plan, organize and schedule work; to set and meet realistic performance goals; to carry work load involving varied and concurrent activities; and to handle special assignments.

Dependability - judgment, discretion, punctuality, absenteeism, conscientiousness, application to duty, abuse of privileges, effects of habits on the work of others, ability to understand and follow instructions, personal stability and willingness to accept the responsibility of the position.

Initiative - ability to act decisively, effectively, and at appropriate times on own initiative; to be resourceful in dealing with complex as well as routine situations; and to anticipate needs and take necessary action without being directed to do so.

Supervisory skills - ability to select, place and train personnel; to assign and delegate work; to define authority and responsibility; to guide and lead; to produce an effective working team; to conduct objective performance appraisals; and to promote and encourage staff development.

Relations with other people - ability to build and maintain good relations with colleagues and library clientele; to cooperate with members of own and other departments in such a way as to inspire their respect and cooperation; to respond positively to criticism; and to communicate effectively with supervisor.

Recommendations of Supervisor

In this section consider whether in your opinion the staff member is well placed in present assignment. Has staff member demonstrated readiness for greater responsibility? Are there specific recommendations for further training or education to be taken during the coming year?

ANNUAL LIBRARIAN PERFORMANCE EVALUATION FORM

Name: Department:

Rank: Date:

I. Department Head's description of assigned responsibilities:

II. Professional Service in the Library

Consider such factors as systematic development of one or more areas of the library's resources and collection; cataloging, classifying, or otherwise extending the bibliographic control over the library's collection; providing guidance and assistance in the use of the library's bibliographical apparatus and collections; providing formal instruction in research methods and library use; organizing or managing the operations of a library department, a branch library, or other library unit.

Also to be considered are the areas of quality of work, quantity of work, dependability, initiative, supervisory skills, and relations with other people. Evaluator should give examples to support general statements.

III. Professional activities outside the library

Consider further relevant education during the year, special library or university assignments, active membership in professional organization, offices held, research and publication, etc.

IV. Recommendations of Supervisor

Recommend for reappointment _____
Recommend for non-reappointment _____
Recommend for promotion from _____ **to** _____

Signed: _____
Department Head

Comments on the Evaluation

The librarian may use this space to comment on his evaluation. Such comments are optional.

I acknowledge by my signature that I have read this evaluation and have discussed it with my department head.

Signed: _____
Librarian

PROCEDURES FOR REVIEW AND PROMOTION

Any librarian who is eligible for promotion to the next level will be reviewed. Every recommendation for reappointment, non-reappointment, or promotion must be documented. The annual evaluation by the department head, together with the Annual Progress Report and the Goal-Setting Statements of the librarian, are important parts of the record. The evaluator is responsible for obtaining, reporting and considering all available evidence and basing his recommendations on that evidence, the library's needs, and the individual's welfare. The documents, the deliberations of the committee and the recommendation will be treated as confidential.

Promotion from Librarian I to Librarian II is recommended in writing to the Director of Libraries by a committee composed of the candidate's chain of command up to and including the Assistant Director and the Personnel Officer, who serves ex officio. Promotions above Librarian II are recommended in writing to the Director of Libraries by an ad hoc Promotion Committee appointed by the Committee on Appointments of the Library Assembly. This committee will consist of the supervisor of the position into which the librarian is eligible to be promoted, two librarians equal to or higher than the position, at least one of whom is from another department in the library system, and the Personnel Officer as an ex officio member.

The following schedule for each level is established:

LIBRARIAN I

Six months	Preliminary review by department head.
One year	Review by committee of supervisors - recommendation to the Director for one year appointment or separation.
Two years	Review by committee of supervisors with Personnel Officer as ex officio member - recommendation for promotion to Librarian II, or one further year appointment as Librarian I, or separation.

Three years	Review by committee of supervisors with Personnel Officer as ex officio member - recommendation for promotion to Librarian II or separation.

LIBRARIAN II

One year	Review by department head.
Two years	Review by Promotion Committee; recommendation to the Director for promotion if that is the committee's decision.

LIBRARIAN III

One, two/three years	Review by department head.
Three/four years	Review by Promotion Committee; recommendation to the Director for promotion if that is the committee's decision. The committee may request statements from other librarians and/or faculty members who would have reason to know the quality of the candidate's performance.

If promotion is denied to any level above Librarian II, the candidate must wait two years before again being reviewed, unless the promotion was recommended by the Promotion Committee but denied due to budgetary limitations.

In cases in which there is a difference of opinion between the committee and the Director concerning the recommendation, the Director will present his reasons for rejection to the Committee and request a reconsideration.

INDIANA UNIVERSITY LIBRARIES

PERFORMANCE EVALUATION FORM

This performance evaluation form has been designed by the Indiana University Libraries Ad Hoc Committee on Professional Criteria. Its purposes are as follows: (1) to evaluate the performance of librarians; (2) to provide relevant information for the promotions and tenure committee which will recommend initial rankings and tenure under the Library faculty status system; (3) to update librarians' personnel files; (4) to aid the librarian in identifying with his/her supervisor(s) those areas in which performance can be improved. This form attempts to evaluate a number of characteristics of job performance and professional attitudes related to job performance. It is not intended to evaluate a librarian's professional activities beyond the performance of his/her primary responsibilities. Information of this nature will be secured through the "Profile of Professional Activities" which each librarian has been asked to submit.

Your committee realizes that this form is not perfect. This form, or one similar, will be used in the future, probably annually, and revisions can be made as the library faculty, supervisors, administrators, and the promotion and tenure committee gain experience.

Please keep in mind that not all items may apply to all librarians. In such cases, the items should be marked N/A (Not Applicable). On the other hand, there may be some aspects of a librarian's job performance or special abilities which may not be adequately covered by this form. In such cases, the evaluator or the librarian may indicate this in the space provided for comments.

Your committee recommends that the evaluation be done by the department head in conjunction with the immediate supervisor (where appropriate). In order to provide a thorough discussion of each librarian's evaluation, the following procedure is recommended:

(1) Carefully review the entire form and the librarian's performance.

(2) Discuss the librarian's performance frankly and objectively with him/her.

(3) Complete the form.

(4) Show the form to the librarian to sign in the appropriate space. If the librarian disagrees with the evaluation or wishes to make additional comments, he/she has the option of appending his/her remarks.

INDIANA UNIVERSITY LIBRARIES

PERFORMANCE EVALUATION FORM JANUARY 1973

LIBRARIAN (NAME) _____

POSITION _____

DEPARTMENT _____ CAMPUS _____

PLEASE RATE THE CHARACTERISTICS BELOW USING THE FOLLOWING SYMBOLS.

O.....OUTSTANDING (EQUALLED BY FEW OTHERS)

VG.....VERY GOOD (EXCELLENT, WELL ABOVE-AVERAGE)

G.....GOOD (ABOVE AVERAGE)

A.....AVERAGE (ACCEPTABLE OR SATISFACTORY)

F.....FAIR (BELOW AVERAGE)

U.....UNSATISFACTORY

N/A.....NOT APPLICABLE

RATING	ITEM
_____	1. Effective accomplishment of professional responsibilities.
_____	2. Demonstration of creativity and initiative.
_____	3. Ability to work independently.
_____	4. Ability to identify library problems and to promote their solutions.
_____	5. Willingness to consider and to accept ideas and alternative approaches to services and procedures.
_____	6. [illegible]
_____	7. [illegible]

RATING	ITEM
_____	8. Willingness to accept responsibility and/or leadership when needed within the department, library, and university.
_____	9. Ability to apply constructive criticism and suggestions.
_____	10. Ability to perform in a dependable and reliable manner.
_____	11. Approachability, communicativeness, and receptiveness.
_____	12. Willingness and ability to pursue patron problems to satisfactory solutions.
_____	13. Familiarity with the teaching and research programs of the campus and with the research processes appropriate to the various disciplines and an ability to translate this knowledge into effective service.
_____	14. An ability to apply the principles of cataloging and classification effectively and accurately.
_____	15. Effectiveness in applying bibliographic techniques to the acquisition, development, and organization of library collections.
_____	16. Stimulation of faculty and student use of the library and other bibliographical resources and effective assistance to faculty and students in their exploitation of resources.
_____	17. Cooperation with other libraries and institutions to facilitate research and to develop regional and national library services.
_____	18. Ability to set objectives, express them in meaningful documentation, and plan their execution.
_____	19. Decisiveness and efficiency in decision-making processes and effectiveness in the execution of policy decisions.
_____	20. Ability to delegate authority.
_____	21. Ability to plan, organize, coordinate, and direct operations and subordinate parts of departments or divisions.

RATING	ITEM
_____	22. Effectiveness in establishing professional or clerical training programs.
_____	23. Ability to encourage effective performance.
_____	24. Impartial and sensitive evaluation of staff.
_____	25. Fair and considerate treatment of subordinates.
_____	26. Ability to communicate with administrators, colleagues, and staff.
_____	27. Alertness to new methods and technological changes.

COMMENTS OF EVALUATOR(S) (APPEND ADDITIONAL SHEET IF NECESSARY)

COMMENTS OF LIBRARIAN EVALUATED (OPTIONAL) (APPEND ADDITIONAL SHEET IF NECESSARY)

SIGNATURE OF DEPARTMENT HEAD _____

POSITION _____ DATE _____

SIGNATURE OF IMMEDIATE SUPERVISOR (IF APPLICABLE) _____

POSITION _____ DATE _____

SIGNATURE OF LIBRARIAN EVALUATED _____

DATE _____

SYSTEMS &
PROCEDURES
EXCHANGE CENTER

No. 5 March 1974

EXPANSION OF SPEC SERVICES

As a result of discussion with the ARL Management Commission and the ARL Board of Directors, SPEC is now offering the following range of services:

ARL Member Institutions:

Free Services:

- Access to SPEC files and SPEC analyses
- Automatic distribution of multiple copies of all OMS publications
- Loan of lengthy documents not included in SPEC kits
- Brief telephone informational inquiries
- On-site staff consultation and examination of documents

Services at Cost:

- SPEC kits at $7.50 (reproduction and handling costs)
- Detailed response to individual inquiries requiring analysis and and review of SPEC files: $10/hour of staff time; $.10/page for document reproduction
- Preparation, execution, and analysis of surveys on request, dependent upon staff availability and potential interest to other libraries: $10/hour of staff time, plus expenses

Non-ARL Member Institutions:

Option A: SPEC Subscription.....$50/year

- Access to SPEC files for on-site examination of documents
- Copies of all OMS publications
- Loan of lengthy documents not included in SPEC kits
- SPEC kits at $7.50 each
- Brief telephone informational inquiries

Option B: Non-Subscribers

- SPEC kits at $15.00 each
- Publications at regular price: prepayment; no standing orders

PERFORMANCE REVIEW IN THE ARL LIBRARIES

The results of the SPEC Personnel Survey show that of 62 responding libraries, 95% have a formal performance review process, but that 39% are revising that process. While traditionally performance review has been seen primarily as a method to provide a fair basis for the allocation of salary increments, many organizations have found that the process can also help the organization to review and clarify its goals by relating them to the performance of individual employees. In addition, there is increased recognition that it can be a useful (OVER)

The SPEC FLYER is an announcement service reporting on surveys and available documentation on various management topics. It is issued by the Association of Research Libraries/Office of Management Studies/1527 New Hampshire Avenue, N.W./Washington, D.C. 20036/ Telephone: (202)232-8656,

tool for identifying talent among employees and that employees can benefit from review by obtaining feedback on their performance, particularly in conferences with supervisors where the interview is organized around the individual employee's career development. Personnel affirmative action officers indicate that regular and equitable consideration for promotion, salary increments and tenure is an important part of any affirmative action program.

SCOPE: The performance review process has traditionally entailed the evaluation of employees by supervisors using either a check list of personal and professional qualities, or an "open" form on which the supervisor in effect writes an essay on the employee using his or her own criteria or a few general guidelines. Frequently, the employee's only feedback was the presence or absence of a salary increment some months later. It is now a more common practice to provide an opportunity for the employee to comment on his or her rating. Ninety percent of responding institutions require the employee to certify that he/she has seen his/her evaluation, although not necessarily that he/she agrees with it, and several libraries (20%) require explanation of extreme marks. There is a trend (28%) toward independent self-evaluation by the employee followed by response and discussion with the supervisor. Two libraries reported provisions for review of supervisors by subordinates. In 30%, the evaluation is related to the employee's job description or a list of specific tasks. Peer review has been widely discussed, and is most often related to the achievement of faculty rank and status by librarians. Several member libraries have instituted the procedure or are moving towards it, and there are indications that the use of peer review will increase as libraries move toward establishment of academic performance criteria.

DOCUMENTATION: The SPEC kit on performance review and development consists of the following documents and represents the range of activities reported on by the ARL libraries. The performance review and development kit consists of 76 pages for $7.50 for ARL members and $15.00 for non-ARL members.

- Performance Evaluation Forms: Indiana University, University of Maryland, Pennsylvania State University, Temple University, University of Tennessee (Knoxville), Wayne State University

- Policy and Procedures Statements: University of Maryland, Temple University, University of Tennessee (Knoxville), Wayne State University

- Committee Reports: Indiana University Libraries Ad Hoc Committee on Professional Criteria (Final Report, March 20, 1973, 18 pp.); Indiana University Libraries All-University Librarians Promotions and Tenure Committee. Tenure Guidelines (Final Report. August 7, 1973. 7 pp.); Wayne State University Libraries. Library Staff Development and Library Organization (Working Paper No. 6, March 3, 1972, 5pp).

- Performance Evaluation Forms for Non-Professional Employees: University of Pennsylvania, Pennsylvania State University, University of Tennessee (Knoxville).

The Systems and Procedures Exchange Center (SPEC) is a mechanism for sharing management techniques and expertise. The Center collects data and documentation on specific areas of research library management and makes the material available to participating ARL libraries. While the Center supports the Office of Management Studies' publication program, its primary role is to further the state of research library management by responding to specific requests.